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**Substitute for form 1449A/B/PTO**

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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of

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**Attorney Docket Number**

**Complete if Known**

Application Number 09/888,164

09/888,164

**Filing Date** June 22, 2001

June 22, 20

**First Named Inventor**

Ts'o

Group Art Unit 1635

1635

Sheet 1 of 1 Attorney Docket Number 212241

**U.S. PATENT DOCUMENTS**

## FOREIGN PATENT DOCUMENTS

**OTHER - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Translation	
			Yes	No**
KL	H B	ALT et al., "Specific Inhibition of Hepatitis C Viral Gene Expression by Antisense Phosphorothioate Oligodeoxynucleotides," <i>Hepatology</i> 22: 707-717 (1995).		
KL	H C	KORBA et al., "Antisense Oligonucleotides are Effective Inhibitors of Hepatitis B Virus Replication In Vitro," <i>Antiviral Research</i> 28:225-242 (1995).		
KL	H D	CHEN et al., "Specific Inhibition of Delta Antigen by In Vitro System by Antisense oligodeoxynucleotide: Implication for Translation Mechanism and Treatment," <i>Journal of Virological Methods</i> 65:183-189 (1997).		

**Examiner Signature**

**Date Considered**

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- A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).
- An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).



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### U.S. PATENT DOCUMENTS

Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
KC	AA	4,415,732		Caruthers et al.	11/15/1983	
	AB	4,671,958		Rodwell et al.	6/9/1987	
	AC	4,680,338		Sundoro	7/14/1987	
	AD	4,725,677		Köster et al.	2/16/1988	
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	AH	4,975,278		Senter et al.	12/4/1990	
	AI	5,008,652		Cullinan et al.	4/9/1991	
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	AK	5,017,693		Hylarides et al.	5/21/1991	
	AL	5,028,697		Johnson et al.	7/2/1991	
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	AN	5,094,849		Cullinan et al.	3/10/1992	
	AO	5,116,944		Sivam et al.	5/26/1992	
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KC	BS	5,639,633		Callstrom et al.	6/17/1997	
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	CQ	6,114,520		Hattori et al.	9/5/2000	
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VC	CS	EP	0 884 327	✓ B1	Florence et al.	3/14/2001		
VC	CT	PCT	97/20563	✓	Ts'o et al	6/12/97		
VC	CU	PCT	00/69473	✓	Vera	11/23/2000		
VC	CV	PCT	01/32623	✓ A1	Ruggner et al.	5/10/2001		
	CW							
	CX							

### OTHER - NON PATENT LITERATURE DOCUMENTS

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VC	CY	AGRAWAL et al., "Oligodeoxynucleoside Phosphoramidates and Phosphorothioates as Inhibitors of Human Immunodeficiency Virus," Proc. Natl. Acad. Sci. USA, 85(19):7079-7083 (1988) Abstract Only.	Yes No

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KLF	CZ ✓	AGRIS et al., "Inhibition of Vesicular Stomatitis Virus Protein Synthesis and Infection by Sequence-Specific Oligodeoxyribonucleoside Methylphosphonates," <i>Biochemistry</i> , 25: 6268-6275 (1986).	✓	
KUX	DA ✓	AKHTAR et al., "Stability of Antisense DNA Oligodeoxynucleotide Analogs in Cellular Extracts and Sera," <i>Life Science</i> , 49: 1793-1801, (1991).		
KCP	DB ✓	ALT et al., "Core Specific Antisense Phosphorothioate Oligodeoxynucleotides as Potent and Specific Inhibitors of Hepatitis C Viral Translation," <i>Arch. Virol.</i> , 142: 589-599 (1997).		
KCP	DC ✓	ANDERSSON, "Reduction and Reoxidation of the Disulfide Bonds of Bovine Serum Albumin," <i>Archives of Biochemistry and Biophysics</i> , 133: 277-285 (1969).		
KCP	DD ✓	ASAYAMA et al., "Synthesis Of Novel Polyampholyte Comb-Type Copolymers Consisting Of A Poly (L-Lysine) Backbone And Hyaluronic Acid Side Changes For A DNA Carrier," <i>Bioconjugate Chem.</i> , 9: 476-481 (1998).		
KLP	DE	BIDER et al., "Ligand-induced Endocytosis of the Asialoglycoprotein Receptor: Evidence for Heterogeneity In Subunit Oligomerization," <i>FEBS Lett.</i> 434: 37-41 (1998).		
KLP	DF	BIESSEN et al., "Cholesterol Derivative of a New Triantennary Cluster Galactoside Directs Low- and High-density Lipoproteins to the Parenchymal Liver Cell," <i>Biochem. J.</i> , 302: 283-289 (1994).		
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KLP	DI	BIESSEN et al., "Targeted Delivery of Oligonucleotides to Parenchymal Liver Cells in Vivo," <i>Biochem. J.</i> , 340: 783-792 (1999).		
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KLP	DK	BIESSEN et al., "Novel Hepatotropic Prodrugs of the Antiviral Nucleoside 9-(2-Phosphonylmethoxyethyl) Adenine with Improved Pharmacokinetics and Antiviral Activity," <i>FASEB J.</i> , 14: 1784-1792 (Sept. 2000).		
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KLP	DO	BRUIX, "Treatment of Hepatocellular Carcinoma," <i>Hepatology</i> , 25: 259-262 (1997).		
KLP	DP	BUNNELL et al., "Targeted Delivery of Antisense Oligonucleotides by Molecular Conjugates," <i>Somatic Cell and Molecular Genetics</i> , 18(6): 559-569 (1992).		
KLP	DQ	CARUTHERS, "Chemical Synthesis of DNA and DNA Analogues," <i>Acc. Chem. Res.</i> 24: 278-284 (1991).		
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KLP	DS	CHENG et al., "Characterization of an Antineoplastic Glucuronide Prodrug," <i>Biochem. Pharmacol.</i> , 58: 325-328 (1999).		
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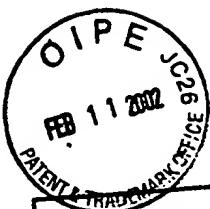
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✓	DU	CHU et al., "Presentation of Ligands on Hydroxylapatite," <i>Bioconjugate Chem.</i> , 8: 103-105 (1997).	
✓	DV	CZERWINSKI et al., "Cytotoxic Agents Directed to Peptide Hormone Receptors: Defining the Requirements for a Successful Drug," <i>Proc. Natl. Acad. Sci. USA</i> , 95: 11520-11525 (1998).	
✓	DW	DUFF et al., "Intrabody Tissue-Specific Delivery of Antisense Conjugates in Animals: Ligand-Linker-Antisense Oligomer Conjugates," <i>Methods in Enzymology</i> , 313: 297-321 (1999).	
✓	DX	EICHLER et al., "Studies on the Uptake of Low Molecular Weight Monomeric Tris-galactosyl Conjugates by the Rat Liver," <i>Biochem. Pharmacol.</i> , 44(11): 2117-2122 (1992).	
✓	DY	FINDEIS et al., "Ligand-Based Carrier Systems for Delivery of DNA to Hepatocytes," <i>Methods in Enzymology</i> , 247: 341-351 (1994).	
✓	DZ	FINDEIS, "Stepwise Synthesis of a GalNAc-Containing Cluster Glycoside Ligand of the Asialoglycoprotein Receptor," <i>Int. J. Peptide Protein Res.</i> , 43: 477-485 (1994).	
✓	FA	FRANSSEN et al., "Hepatic and Intrahepatic Targeting of an Anti-Inflammatory Agent with Human Serum Albumin and Neoglycoproteins as Carrier Molecules," <i>Biochem. Pharmacol.</i> , 45(6): 1215-1226 (1993).	
✓	FB	GUPTA et al., "Synthesis of Neoglycopeptides and Analyses of their Biodistribution <i>In Vivo</i> to Identify Tissue Specific Uptake and Novel Putative Membrane Lectins," <i>Glycoconjugate J.</i> , 11: 558-571 (1994).	
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✓	FD	HARDY et al., "Different Modes of Ligand Binding to the Hepatic Galactose/N-Acetylgalactosamine Lectin on the Surface of Rabbit Hepatocytes," <i>Biochem.</i> , 24: 22-28 (1985).	
✓	FE	HUWYLER et al., "Receptor Mediated Delivery of Daunomycin Using Immunoliposomes: Pharmacokinetics and Tissue Distribution in the Rat," <i>JPET</i> , 282: 1541-1546 (1997).	
✓	FF	KRIEG et al., "Modification of Antisense Phosphodiester Oligodeoxynucleotides by a 5' Cholesteryl Moiety Increases Cellular Association and Improves Efficacy," <i>Proc. Natl. Acad. Sci. USA</i> , 90: 1048-1052 (1993).	
✓	FG	KUO et al., "Novel Systems for Controlled Delivery of Macromolecules," <i>Crit. Rev. Eukaryotic Gene Express.</i> , 6(1): 59-73 (1996).	
✓	FH	LEMAITRE et al., "Specific Antiviral Activity of a Poly(L-Lysine)-conjugated Oligodeoxyribonucleotide Sequence Complementary to Vesicular Stomatitis Virus N Protein mRNA Initiation Site," <i>Proc. Natl. Acad. Sci. USA</i> , 84: 648-652 (1987).	
✓	F1	LEE, "Synthesis of Some Cluster Glycosides Suitable for Attachment to Proteins or Solid Matrices," <i>Carbohydrate Research</i> , 67: 509-514 (1978).	
✓	FJ	LEE et al., "New Synthetic Cluster Ligands for Galactose/N-Acetylgalactosamine-Specific Lectin of Mammalian Liver," <i>Biochem.</i> , 23: 4255-4261 (1984).	
✓	FK	LEE et al., "Synthesis of 6'-Aminohexyl 2-Acetamido-2-D-oxo-D-Galactoside Isomers and a Unique Isomerization Catalyzed by Ion Exchange Resin," <i>J. Carbohydrate Chemistry</i> , 5(3): 343-357 (1986).	
✓	FL	LEE et al., "Binding Characteristics of N-Acetylglucosamine-Specific Lectin of the Isolated Chicken Hepatocytes: Similarities to Mammalian Hepatic Galactose/N-Acetylgalactosamine-Specific Lectin," <i>Biochem.</i> , 28: 8351-8358 (1989).	
✓	FM	LEE, "Binding Modes of Mammalian Hepatic Gal/GalNAc R ceptors," <i>Ciba Found. Symp.</i> , 145: 80-95 (1989).	

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PL	FN	LEE et al., "Ligand Structural Requirements for Recognition and Binding by the Hepatic Asialoglycoprotein Receptor," <i>Targeted Diagn. Ther.</i> , 4: 65-86 (1991).		
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PL	FT	MARSHALL et al., "Inhibition of Human Immunodeficiency Virus Activity by Phosphorodithioate Oligodeoxycytidine," <i>Proc. Natl. Acad. Sci. USA</i> , 89: 6265-6269 (1992).		
PL	FU	MARTINEZ-FONG et al., "Nonenzymatic Glycosylation of Poly-L-lysine: A New Tool for Targeted Gene Delivery," <i>Hepatology</i> , 20(6): 1602-1608 (1994).		
PL	FV	MERWIN et al., "Targeted Delivery of DNA using YEE(GalNAcAH) <sub>3</sub> , A Synthetic Glycopeptide Ligand for the Asialoglycoprotein Receptor," <i>Bioconjugate Chem.</i> 5: 612-620 (1994).		
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PL	GB	PLANK et al., "Gene Transfer into Hepatocytes Using Asialoglycoprotein Receptor Mediate Endocytosis of DNA Complexed with an Artificial Tetra-Antennary Galactose Ligand," <i>Bioconjugate Chem.</i> , 3: 533-539 (1992).		
PL	GC	RANADE, "Drug Delivery Systems: 3A. Role of Polymers in Drug Delivery," <i>J. Clin. Pharmacol.</i> , 30: 10-23 (1990).		
PL	GD	RICE et al., "Defined Geometry of Binding between Triantennary Glycopeptide and the Asialoglycoprotein DNA of Rat Hepatocytes," <i>J. Biol. Chem.</i> , 265(30): 18429-18434 (1990).		
PL	GE	RICE et al., "Interterminal Distance and Flexibility of a Triantennary Glycopeptide as Measured by Resonance Energy Transfer," <i>Biochem.</i> , 30: 6646-6655 (1991).		
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PL	GG	ROBINSON et al., "Bioadhesive Polymers for Controlled Drug Delivery," <i>Annals New York Academy of Sciences</i> , 507: 307-314 (1987).		
PL	GH	ROHLLFF et al., "A Novel, Orally Administered Nucleoside Analogue, OGT 719, Inhibits the Liver Invasive Growth of a Human Colorectal Tumor, C170HM2," <i>Cancer Res.</i> , 59: 1268-1272 (1999).		

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Examiner Signature

Date Considered

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